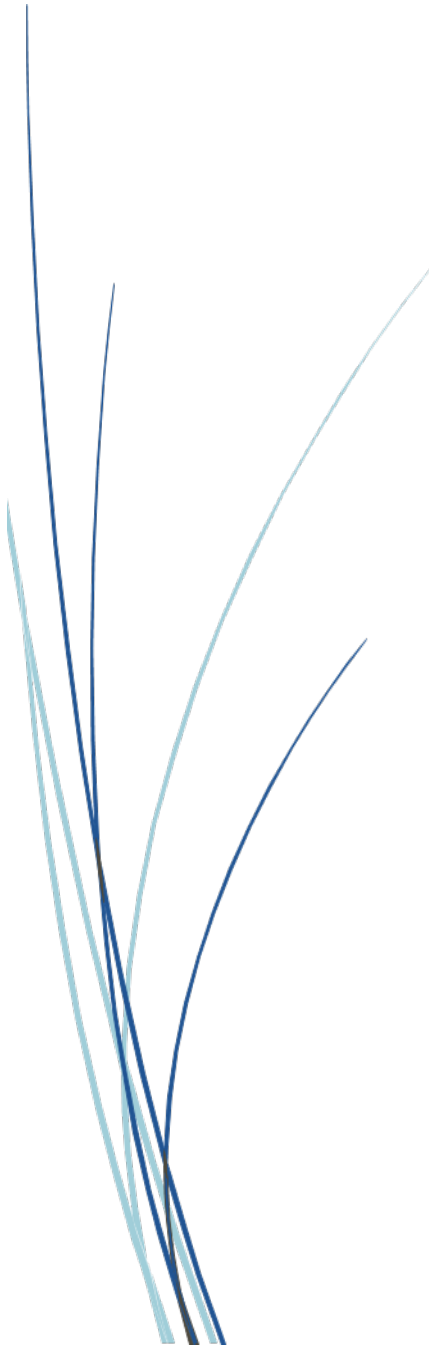


Boundary and Annexation Survey (BAS) State Certification How-to Guide

Instructions for Participating in the BAS State Certification Program



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INTRODUCTION

A. The Boundary and Annexation Survey (BAS)

The U.S. Census Bureau conducts the Boundary and Annexation Survey (BAS) every year to update legal boundaries, names, and the status of all governments. The Census Bureau uses this boundary information for data collection, tabulation, and dissemination for the decennial census, American Community Survey (ACS), Population Estimates Program (PEP), and many other censuses and surveys.

B. The BAS State Certification Program

Following each BAS cycle, the Census Bureau conducts the BAS State Certification Program to review and certify updates sent through BAS.

As part of the BAS State Certification Program, the Census Bureau compiles listings of all local governments in each state that reported updates during the previous BAS cycle and distributes them to a governor-appointed State Certifying Official (SCO). If an individual state's law requires local governments to report boundary updates to the state, the SCO is responsible for reviewing the listings and certifying that the information is correct. This program ensures that the Census Bureau's inventory of local governments is accurate and that the boundary changes reported to BAS comply with state laws.

C. Contact Us

If assistance is required in preparing a BAS State Certification Program submission, please contact the Census Bureau at geo.bas@census.gov or **1-800-972-5651**.

D. Resources

BAS State Certification Program materials and additional resources are available on the BAS State Certification website <http://www.census.gov/programs-surveys/bas/information/state-certification-program.html>.

A map containing states with functioning and nonfunctioning Minor Civil Divisions (MCDs) is located here:

https://www2.census.gov/geo/maps/general_ref/pgsz_ref/CouSub_TypesByState_2020.pdf

CHAPTER 1 STATE LAWS

The SCO is responsible for understanding the laws in their state that pertain to legal boundary changes, new incorporations, and disincorporations since this will determine the extent to which the Census Bureau will accept changes to the BAS State Certification listings. Some states have laws requiring local governments to report any legal actions causing changes to their legal boundaries to a designated state agency. If such laws are in effect, the SCO should have access to a complete boundary change file through the state government, which they may use to compare with the Census Bureau listings.

In states that have laws requiring local boundary changes to be reported to a state agency, the SCO may pursue any of the actions described in [Table 1](#).

In states that do not require boundary changes to be reported to a state agency, the SCO does not need to submit the edited listings to the Census Bureau. However, if the SCO does have access to a state-level boundary change file, they may use it to certify or add missing records to the BAS State Certification listings.

In most cases, the Census Bureau will accept edits to legal boundary changes. However, the Census Bureau will not add or remove legal changes until the changes are confirmed by the local government affected by the change.

A list of state annexation reporting laws can be found here:

<http://www2.census.gov/geo/pdfs/partnerships/bas/StateLawSummaries.pdf>.

CHAPTER 2 BAS STATE CERTIFICATION MATERIALS

All BAS State Certification materials, including the listings for review and this how-to guide can be found on the BAS State Certification website <<https://www.census.gov/programs-surveys/bas/information/state-certification-program.html>>.

2.1 Accessing materials

1. On the BAS State Certification website, go to the section of the page that reads, “Download BAS State Certification Materials.”
2. In the “Select a Geography” drop-down box under “Choose a State to View,” select the state the SCO is responsible for reviewing.
3. Upon selection of the state name, the website directs to a File Transfer Protocol (FTP) site. Download the contents of the folder. These are the listings that the SCO will review for the BAS State Certification Program.

2.2 State Certification Listings

Depending on the state, the SCO will be responsible for reviewing up to four listing files:

- List 1 – Governments reported to the Census Bureau that have disincorporated, become inactive, or otherwise ceased to exist. This listing is only available if a deleted government was reported to the Census Bureau during the 2021 BAS.
- List 2 – Reported legal boundary changes (annexations, deannexations/detachments, etc.) to active incorporated places within the state as of January 1, 2021.
- List 3 – All governmentally active and inactive incorporated places in the state, according to the Census Bureau’s records as of January 1, 2021.
- List 4 – All governmentally active and inactive MCDs in the state, according to Census Bureau’s records as of January 1, 2021.

CHAPTER 3 REVIEWING THE LISTINGS

This section describes each type of listing file and explains how to review each listing file within the program materials.

3.1 Action Codes

For each record in a listing file, the SCO will input an action code into the 'Cert.' column. All action codes are defined in the table below:

Table 1: Action Codes and Descriptions

Action Code	Description
C	Certify - The SCO certifies that the information for the record is complete, accurate, and conforms to applicable state laws.
A	Add - The SCO adds a record from the state's file that is missing from the listing.
R	Reverse - The SCO requests to remove an invalid record from the listing.
E	Edit - The SCO edits the attribute information for an existing record in the listing.
X	Duplicate Entry - The SCO indicates that the record is a duplicate of another record in the listing.
<blank>	Leaving a blank field means there are no actions for the record. The Census Bureau will continue to maintain the record and its current attribute information.

3.2 List 1: Governments that Disincorporated, Became Inactive, or Ceased to Exist

The List 1 data file ([Figure 1](#)) contains the names of all governments in the state that have disincorporated, became inactive (no longer have officers, collect revenue, or conduct governmental activities), or otherwise ceased to exist as of January 1, 2021. [Table 2](#) provides an explanation of the fields in the data file.

	A	B	C	D	E	F
1	ENTITIES THAT DISINCORPORATED, BECAME INACTIVE, OR CEASED TO EXIST AS SEPARATE ENTITIES					
2	NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO UPDATE.					
3						
4	Place Name and LSAD*	County	Effective Date	Effective Date Update	Cert.	Memo
5	Edna Bay city	Prince of Wales-Hyder Census Area	10/02/2014			
6	Petersburg Borough	Petersburg Borough	1/3/2013			
7						
8						
9	*LSAD=expanded legal/statistical description					
10	Certification: I certify to the best of my knowledge, that the attached list of boundary changes is complete and correct as of January 1, 2016 for all places shown and that the effective date is correct for each change, except as specified by the added notes.					
11						

Figure 1. List 1

Table 2: List 1 Data File Field Descriptions

Column	Field Name	Description
A	Place Name and LSAD	Government's name and expanded legal/statistical area description.
B	County	County or counties in which the government is located.
C	Effective Date	The date on file for when the government disincorporated, became inactive, or otherwise ceased to exist.
D	Effective Date Update	Will be initially blank so the SCO can provide edits to the data in the Effective Date field without overriding original data.
E	Cert.	Will be initially blank so the SCO may certify the records as correct and complete.
F	Memo	Will be initially blank so the SCO may include any notes regarding a certain record.

3.2.1 Instructions

Please review the List 1 data file to ensure that it provides a complete and correct inventory of all governments that have disincorporated, become inactive, or otherwise ceased to exist as of January 1, 2021.

- For all records that are correct, complete, and conform to applicable state laws, enter a 'C' in the Cert. field.
- If there is a government that disincorporated, became inactive, or otherwise ceased to exist and is missing from the data file:
 - In a new row at the bottom of the data file, enter the missing government's name and the entity type (such as town, township, city, etc.) under the Place Name and Legal/Statistical Area Description (LSAD) field.
 - Enter the date the government disincorporated, became inactive, or otherwise ceased to exist into the Effective Date Update field.

- Provide an explanation in the Memo field.
- Enter an 'A' in the Cert. field. This will inform the Census Bureau that an additional government should be added to the list of deleted governments.
- If any government is listed in error:
 - Enter an 'R' in the Cert. field to notify the Census Bureau that this government should be removed from the list of deleted governments.
 - In the Memo field, provide an explanation why the government should be removed.
- If the Effective Date of the government is incorrect:
 - Enter the correct date the government ceased to exist in the Effective Date Update field.
 - Enter an 'E' in the Cert. field to notify the Census Bureau that the Effective Date must be edited in the list of deleted governments.
- If any government is duplicated:
 - Enter an 'X' in the Cert. field to inform the Census Bureau that this government is a duplicate of another government.
 - In the Memo field, indicate the duplicate ID.
- Upon completion of review of the List 1 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

3.3 List 2: Boundary Changes

The List 2 data file ([Figure 2](#)) provides an inventory of legal boundary changes to active incorporated places within the state that were reported to BAS. [Table 3](#) provides an explanation of the fields in the data file.

D	E	F	G	H	I	J	K	L
BOUNDARY ACTIVITY FOR ACTIVE INCORPORATED PLACES								
NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO UPDATE.								
Action Update	Authorization Type	Authorization Type Update	Local Number	Local Number Update	Local Effective Date	Local Effective Date Update	Acreage	Acreage Update
	Ordinance		LBC_AKUTAN		06-04-2012			
	Ordinance		LBC_AKUTAN		06-04-2012			
	Ordinance		2015-006247-		03-25-2015			
	Ordinance		2015-006247-		03-25-2015			
	Ordinance		LBC_DILLINGH		04-12-2012			
	Ordinance		2010-011453-		06-30-2010			
	Ordinance		2010-011453-		06-30-2010			
	Ordinance		LBC_GUSTAVUS		03-08-2012			
	Ordinance		2015-018823-		09-03-2015			
	Ordinance		LBC_KACHEMAK		02-09-2012			
	Ordinance		LBC_PALMER		07-05-2012			
*LSAD=expanded legal/statistical description								
The attached list of boundary changes is complete and correct as of January 1, 2016 for all places shown and that the effective date is correct for								

Figure 2. List 2

Table 3: List 2 Data File Field Descriptions

Column	Field Name	Description
A	Place Name and LSAD	Government's name and expanded legal/statistical area description.
B	FIPS Place Code	Federal Information Processing Standards (FIPS) code for the place.
C	Action	Lists whether the boundary change is an annexation, detachment, or other type of action.
D	Action Update	Will be blank so the SCO may provide edits to the data in the Action field without overwriting original data.
E	Authorization Type	Lists the type of legal authorization that effected the change.
F	Authorization Type Update	Will be blank so the SCO may provide edits to the data in the Authorization Type field without overwriting original data.
G	Local Number	The identification number of the legal document that recorded the authorization effecting the change to the boundary.
H	Local Number Update	Will be blank so the SCO may provide edits to the data in the Local Number field without overwriting original data.
I	Local Effective Date	Lists the effective date of each action. (Please note that there may be a difference between the effective date of actions on this list and the effective date in the state's records because the Census Bureau's records contain a locally reported date.)
J	Local Effective Date Update	Will be blank so the SCO may provide edits to the data in the Local Effective Date field without overwriting original data.
K	Secondary Effective Number	The state legal action number identifying the legal document that recorded the authorization effecting the change to the boundary (if applicable).
L	Secondary Effective Number Update	Will be blank so the SCO may provide edits to the data in the Secondary Effective Number field without overwriting original data (if applicable).
M	Secondary Effective Date	Lists the effective date of each state legal action.
N	Secondary Effective Date Update	Will be blank so the SCO may provide edits to the data in the Secondary Effective Date field without overwriting original data.
O	Acreage	Lists the reported acreage of the affected territory.
P	Acreage Update	Will be blank so the SCO may provide edits to the data in the Acreage field without overwriting original data.
Q	Keying Date	Lists the date that the record was entered into the Census Bureau's Master Address File/Topologically Integrated Geographic Encoding Referencing System (MAF/TIGER). The keying date may be used to research boundary changes on the Census Bureau's maps.

Column	Field Name	Description
R	Cert.	Will be initially blank so the SCO may certify the records as correct and complete. (See Table 1.)
S	GCATOID	Field used internally to identify the change to the government.
T	<Blank>	Will be blank so the SCO may provide additional information about the record if necessary.

3.3.1 Instructions

Please review the List 2 data file ([Figure 2](#)) to verify that:

- Each legal boundary change was submitted in accordance with applicable state law.
- The place name, action, authorization type, local number, local effective date, acreage, and if applicable, secondary effective number and secondary effective date, shown for each record is correct.
- The Census Bureau’s list is complete as of January 1, 2021.

When reviewing the List 2 data file, the SCO may determine that a record(s) in the Census Bureau’s data file does not match the state’s records. If this occurs, please research if specific attributes of the change are incorrect or if the boundary update was not completed in accordance with state law(s).

Note: Some places provide the Census Bureau with the legal documentation along with maps of boundary changes. To view the legal documentation for a change, contact the Census Bureau. In the email, please specify the government that the change affected, and the attribute information associated with the change in List 2. The Census Bureau will research to determine if there is supplemental information for this change.

- If a boundary change was accomplished in accordance with state law and the attribute data is correct and complete, enter a ‘C’ in the Cert. field.
- If a boundary update is missing from the Census Bureau’s records:
 - In a blank row at the bottom of the spreadsheet:
 - Enter the name and type of the government where the change occurred in the Place Name and LSAD field, respectively.
 - Enter “annexation” or “deannexation” into the Action Update field.
 - Enter “ordinance,” “resolution,” “local law,” “state-level action,” or “other” into the Authorization Type Update field.
 - Enter the legal document number into the Local Number Update field.
 - Enter the effective date into the Local Effective Date Update field.
 - If available, enter the acreage into the Acreage Update field.
 - If applicable, type the state legal action number into the Secondary Number Update field and enter the effective date of the state legal action into the Secondary Effective Date Update field.
 - Enter an ‘A’ in the Cert. field to inform the Census Bureau that an additional boundary change should be added to the Census Bureau’s database.

- If a boundary change was not accomplished in accordance with applicable state law, the SCO may complete one of the two actions below:
 - Leave the Cert. field blank, which will indicate that the state government does not certify the change, but the SCO does not wish to reverse the change at this time.
 - Enter an 'R' in the Cert. field. In the blank cell to the right of the Cert. field, please note the reason as well as any additional information about the reversal.
- If a portion or all the attribute data for the boundary change is incorrect:
 - Type the correct data in the field to the right of the incorrect data. For example, if the information in the Action field is incorrect, type the correct information in the Action Update field to the right of the Action field. If the date in which the change is effective is incorrect, enter the correct date in the Local/Secondary Effective Date Update field. Blank update fields are also provided if the SCO needs to change the Authorization Type, Number, and Acreage information.
 - Enter an 'E' in the Cert. field to notify the Census Bureau that a portion or all the attributes for this record must be edited.
- If a boundary update is a duplicate of an already existing boundary change:
 - Enter an 'X' in the Cert. field.
- Upon completion of review of the List 2 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

3.4 List 3: Incorporated Places

The List 3 data file ([Figure 3](#)) shows the names of all active and inactive incorporated places in the state according to the Census Bureau's records. An active incorporated place is one that has officials (elected or appointed) and has the legal capacity to raise revenues and conduct general governmental activities. [Table 4](#) provides an explanation of each of the fields in the data file.

	A	B	C	D	E	F	G
1	INCORPORATED PLACES						
2	NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO UPDATE.						
3	County Name	Place Name and LSAD*	Part Flag	FS**	FS Update	Cert.	Memo
4							
5	Autauga County	Autaugaville town		Active			
6	Autauga County	Billingsley town		Active			
7	Autauga County	Millbrook city	P	Active			
8	Autauga County	Prattville city	P	Active			
9	Baldwin County	Bay Minette city		Active			
10	Baldwin County	Daphne city		Active			
11	Baldwin County	Elberta town		Active			

Figure 3. List 3

Table 4: List 3 Data File Field Descriptions

Column	Field Name	Description
A	County Name	The county or county equivalent where each incorporated place is located.
B	Place Name and LSAD	Lists the places in alphabetical order within a county. If a place exists in multiple counties, it will be listed under each county in which it is located. The LSAD is the expanded legal/statistical area description, such as city, town, village, etc.
C	Part Flag	If the government is located within multiple counties, this field will be populated by the letter “P” otherwise this field will be blank.
D	FS	Lists the functional status (FS) of the government. (See Appendix B for definitions.)
E	FS Update	Will be initially blank so the SCO may provide edits to the information in the FS field without overwriting original data.
F	Cert.	Will be initially blank so the SCO may certify the records as correct and complete.
G	Memo	Will be initially blank so the SCO may include notes.

3.4.1 Instructions

Please review the List 3 data file (**Figure 3**) to ensure that it provides a complete and correct inventory of all incorporated places that were governmentally active or inactive.

If a place is in multiple counties in the state’s records, please review the file to ensure that it is listed under each applicable county. Places that occur in multiple counties in the MAF/TIGER database will have “P” entered in column C (Part Flag) of the data file.

- For all records that are deemed to be correct and complete, enter a 'C' in the Cert. field to certify the record.
- If a place is missing from the data file:
 - In a blank row at the bottom of the data file:
 - Enter the place’s county name in the County Name field.
 - Enter the place’s name and entity type in the Place Name and LSAD field.
 - Enter “active” or “inactive” in the FS field.
 - Enter the effective date when the place legally incorporated in the Memo field.
 - Enter an ‘A’ in the Cert. field to inform the Census Bureau that this place should be added to the MAF/TIGER database.

Note: If the place exists in two or more counties, type all the county names, separated by commas, into the County Name field.

- If a place is no longer incorporated:
 - Provide the effective date of the status change in the Memo field.
 - Enter an 'R' in the Cert. field to notify the Census Bureau that the place should be removed from the MAF/TIGER database.
- If the functional status of a place has changed:
 - Enter the correct functional status in the FS Update field.
 - Enter the effective date of the status change in the Memo field.
 - Enter an 'E' in the Cert. field to notify the Census Bureau that the functional status must be edited in the MAF/TIGER database.
- Upon completion of review of the List 3 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

3.5 List 4: Minor Civil Divisions

The List 4 data file ([Figure 4](#)) shows the names of all active and inactive minor civil divisions (MCDs) in the state according to the Census Bureau's records. An active MCD operates as a governmental unit, has elected or appointed officials, and has the legal capacity to raise revenues and conduct general governmental activities. States that do not have MCDs will not receive the List 4 data file. See the BAS State Certification website <http://www.census.gov/programs-surveys/bas/information/state-certification-program.html> for a list of states that have MCDs. [Table 5](#) provides an explanation of the fields in the data file.

	A	B	C	D	E	F
	MINOR CIVIL DIVISIONS					
1						
2	NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO					
3						
4	County Name	MCD Name and LSAD*	FS**	FS Update	Certified	Memo
5	Fairfield County	Bethel town				
6	Fairfield County	Bridgeport town				
7	Fairfield County	Brookfield town				

Figure 4. List 4

Table 5: List 4 Data File Field Descriptions

Column	Field Name	Description
A	County Name	The county where each government is located.
B	MCD Name and LSAD	Lists MCDs in alphabetical order within the state. The LSAD is the expanded legal/statistical area description, such as town or township.
C	FS	Lists the functional status (FS) of the government. (See Appendix B for definitions.)

Column	Field Name	Description
D	FS Update	Will be initially blank so the SCO may provide an updated functional status without overwriting original data in the FS field.
E	Cert.	Will be initially blank so the SCO may certify the records as correct and complete.
F	Memo	Will be initially blank so the SCO may include any notes regarding the record.

3.5.1 Instructions

Please review the List 4 data file ([Figure 4](#)) to ensure that it provides a complete and correct inventory of all MCDs that were governmentally active or inactive.

- For all records that the SCO deems to be correct and complete, enter a ‘C’ in the Cert. field to certify the record.
- If a government is missing from the data file:
 - In a blank row at the bottom of the data file:
 - Enter the MCD’s county’s name in the County Name field.
 - Enter the MCD’s name followed by its legal area description (such as town or township) in the MCD Name and LSAD field.
 - Enter “active” or “inactive” in the FS Update field.
 - Enter the effective date when the MCD organized in the Memo field.
 - Enter an ‘A’ in the Cert. field to inform the Census Bureau that this MCD should be added to the MAF/TIGER database.
- If an MCD is no longer organized:
 - Provide the effective date when the MCD ceased to exist in the Memo field.
 - Enter an ‘R’ in the Cert. field to notify the Census Bureau that the MCD should be removed from the MAF/TIGER database.
- If the functional status of an MCD has changed:
 - Enter the correct functional status in the FS Update field.
 - Enter the effective date of the status change in the Memo field.
 - Enter an ‘E’ in the Cert. field to notify the Census Bureau that the functional status must be edited in the MAF/TIGER database.
- Upon completion of review of the List 4 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

CHAPTER 4 SUBMIT UPDATED TO THE CENSUS BUREAU

All participants must use the Secure Web Incoming Module (SWIM) to submit their changes to the Census Bureau. Due to security requirements, the Census Bureau cannot accept submissions via File Transfer Protocol (FTP), email or any protocol other than the SWIM site.

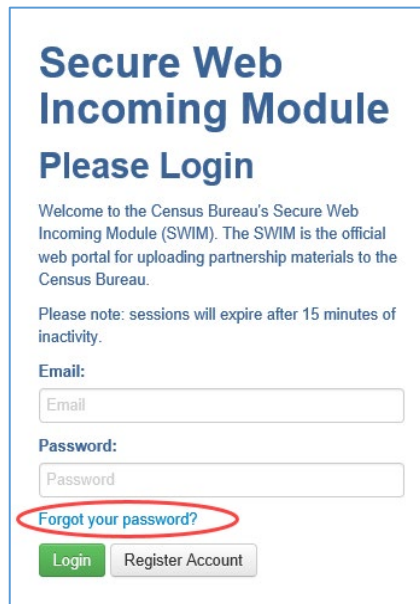
To upload and transmit update files to the Census Bureau, participants must access their SWIM account.

1. Open a web browser window and enter the SWIM URL: <<https://respond.census.gov/swim/>>. SWIM runs on the two most recent versions of each of these major browsers:
 - Microsoft Edge®
 - Google Chrome®
 - Mozilla Firefox®
 - Apple Safari®
2. Participants who already have a SWIM account should proceed to Step 4 to log in.
3. Participants who do not have a SWIM account click 'Register Account':
 - Enter the 12-digit token provided by the Census Bureau.
 - Create a password following the five criteria below:
 - a. Username and password are case sensitive.
 - b. It must be at least eight characters in length.
 - c. It must have at least one upper case character.
 - d. It must have at least one lower case character.
 - e. It must have at least one number.
 - f. It must have at least one special character (valid characters are: #, !, \$, &, ?, ~).
 - Complete the registration information form.
4. Log in to SWIM using your email address and password.
5. Upload a BAS submission:
 - a. Select the *Start New Upload button*.
 - b. Select the *BAS* radio button.
 - c. Select the *State* radio button for Entity type.
 - d. Select the State.
 - e. Click the *+ Add File* button.
 - f. Select the .zip file to upload.
 - g. Double-click on the .zip file to upload. Add additional files in the same manner.
 - h. Add any additional information to the **Comments** field.
6. Click the *Next* button. A **Thank You** screen will appear.
7. Logout of SWIM.

4.1 Troubleshooting SWIM

If you are having trouble accessing your SWIM account here are some tips for using SWIM:

- SWIM email addresses and passwords are case sensitive.
- If you forgot your password, participants may reset their password using the “Forgot your password?” link on the login page. Follow the prompts to enter the case-sensitive email address and provide the security answer (not case-sensitive). If the security answer is correct, the SWIM system sends a password reset link to the email account for use in resetting the password. Once logged into SWIM, users can modify their password and security answer by selecting the ‘Change Security’ link at the top, right-hand side of the page.



Secure Web Incoming Module
Please Login

Welcome to the Census Bureau's Secure Web Incoming Module (SWIM). The SWIM is the official web portal for uploading partnership materials to the Census Bureau.

Please note: sessions will expire after 15 minutes of inactivity.

Email:

Password:

[Forgot your password?](#)

Figure 5: SWIM Login Page

- If you cannot recover your password through the “Forgot your Password?” menus, please email geo.bas@census.gov with the subject line “SWIM Account Assistance” with a brief description of the issue.
- SWIM accounts are specific to users, not to your government so we do not advise sharing an account. You may always request another account for a new BAS Contact.
- If you already created an account through another decennial program such as PSAP, LUCA, or GSS, you do not need another account. You may use the same previously established login information.